

FEE TRANSMITTAL FOR FY 2001

TOTAL AMOUNT OF PAYMENT (\$) \$ 474.00

Complete if Known:

Application No. 09/495,982
 Filing Date February 1, 2000
 First Named Inventor Christopher L. Jones, et al.
 Group Art Unit 2768
 Examiner Name Unassigned
 Attorney Docket No. 02821.P001X

METHOD OF PAYMENT (check one)

1. The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number 02-2666
 Deposit Account Name _____

Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

Applicant claims small entity status. See 37 CFR 1.27

2. Payment Enclosed: Check
 Credit Card
 Money Order
 Other

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FEE CALCULATION

1. BASIC FILING FEE

Large Entity	Small Entity	Fee Description	Fee Paid
Fee	Fee	Fee	
Code	(\$)	Code	(\$)
101	710	201	355
106	320	206	160
107	490	207	245
108	710	208	355
114	150	214	75
		Utility application filing fee	
		Design application filing fee	
		Plant filing fee	
		Reissue filing fee	
		Provisional application filing fee	
SUBTOTAL (1) \$			

2. EXTRA CLAIM FEES

		Extra Claims	Fee from below	Fee Paid
Total Claims		- 20** =	X \$ 18.00	=
Independent Claims		- 3** =	X \$ 80.00	=
Multiple Dependent				

**Or number previously paid, if greater; For Reissues, see below.

Large Entity Small Entity

Fee	Fee	Fee	Fee	Fee Description
Code	(\$)	Code	(\$)	
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	**Reissue independent claims over original patent
140	18	210	0	**Reissue claims in excess of 20 and over original patent
SUBTOTAL (2) \$				

FEE CALCULATION (continued)

3. ADDITIONAL FEES

<u>Large Entity</u>	<u>Small Entity</u>	<u>Fee Description</u>	<u>Fee Paid</u>
Fee	Fee	Fee	
Code	(\$)	Code	(\$)
105	130	205	65
127	50	227	25
			Surcharge - late filing fee or oath
			Surcharge - late provisional filing fee
			or cover sheet
139	130	139	130
147	2,520	147	2,520
112	920*	112	920*
			Non-English specification
			For filing a request for ex parte reexamination
			Requesting publication of SIR prior to
			Examiner action
113	1,840*	113	1,840*
			Requesting publication of SIR after
			Examiner action
115	110	215	55
116	390	216	195
117	890	217	445
118	1,390	218	695
128	1,890	228	945
119	310	219	155
120	310	220	155
121	270	221	135
138	1,510	138	1,510
140	110	240	55
141	1,240	241	620
142	1,240	242	620
143	440	243	220
144	600	244	300
122	130	122	130
123	130	123	130
126	180	126	180
581	40	581	40
			Petitions to the Commissioner
			Petitions related to provisional applications
			Submission of Information Disclosure Stmt
			Recording each patent assignment per
			property (times number of properties)
146	710	246	355
			For filing a submission after final rejection
			(see 37 CFR 1.129(a))
149	710	249	355
			For each additional invention to be examined
			(see 37 CFR 1.129(b))
179	710	279	355
169	900	169	900
			Request for Continued Examination (RCE)
			Request for expedited examination of a design
			application
Other fee (specify)	<u>Presentation of additional claims</u>		\$ 474.00
Other fee (specify)			
			SUBTOTAL (3) \$ 474.00

*Reduced by Basic Filing Fee Paid

SUBMITTED BY:

Typed or Printed Name:

Michael A. DeSanctis

Signature:

Date:

9/5/01

Reg. Number:

Telephone Number:

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

FIRST CLASS CERTIFICATE OF MAILING

I hereby certify that I am causing the above-referenced correspondence to be deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated below and that this paper or fee has been addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231

Date of Deposit: September 5, 2001

Name of Person Mailing Correspondence: Fran C. Rolfsen

Fran C. Rolfsen
Signature

9-5-01
Date



MP-2768
2161

Attorney's Docket No.: 02821.P001X

Patent

In re the Application of: Christopher L. Jones, et al.

(inventor(s))

Application No.: 09/495,982

Filed: February 1, 2000

For: Financial Advisory System

(title)

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ASSISTANT COMMISSIONER FOR PATENTS

Washington, D.C. 20231

SIR: Transmitted herewith is an Amendment for the above application.

- Small entity status of this application under 37 C.F.R. §§ 1.9 and 1.27 has been established by a verified statement previously submitted.
 A verified statement to establish small entity status under 37 C.F.R. §§ 1.9 and 1.27 is enclosed.
 No additional fee is required.

The fee has been calculated as shown below:

	(Col. 1)		(Col. 2)		(Col. 3)	SMALL ENTITY		OTHER THAN A SMALL ENTITY	
	Claims Remaining After Amd.		Highest No. Previously Paid For	Present Extra		Rate	Additional Fee	Rate	Additional Fee
Total Claims	*	33	Minus	** 20	13	X9	\$	X18	\$ 234.00
Indep. Claims	*	6	Minus	*** 3	3	X40	\$	X80	\$ 240.00
First Presentation of Multiple Dependent Claim(s)									
	* If the entry in Col. 1 is less than the entry in Col. 2, write "0" in Col. 3.					+135	\$	+270	\$
	** If the "Highest No. Previously Paid For" IN THIS SPACE is less than 20, write "20" in this space.					Total Add. Fee	\$	Total Add. Fee	\$ 474.00
	*** If the "Highest No. Previously Paid For" IN THIS SPACE is less than 3, write "3" in this space. The "Highest No. Previously Paid For" (Total or Independent) is the highest number found from the equivalent box in Col. 1 of a prior amendment or the number of claims originally filed.								

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231

on September 5, 2001
Date of Deposit

Fran C. Rolfsen

Name of Person Mailing Correspondence

Fran C. Rolfsen

Signature

9-5-01

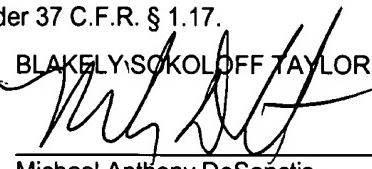
Date

- A check in the amount of \$ 474.00 is attached for presentation of additional claim(s).
 Applicant(s) hereby Petition(s) for an Extension of Time of _____ month(s) pursuant to 37 C.F.R. § 1.136(a).
 A check for \$ _____ is attached for processing fees under 37 C.F.R. § 1.17.
Please charge my Deposit Account No. 02-2666 the amount of \$ _____.
A duplicate copy of this sheet is enclosed.
- The Commissioner of Patents and Trademarks is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 02-2666 (**a duplicate copy of this sheet is enclosed**):
- Any additional filing fees required under 37 C.F.R. § 1.16 for presentation of extra claims.
 Any extension or petition fees under 37 C.F.R. § 1.17.

Date: 9/5/01

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Michael Anthony DeSanctis

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